

PTO/SB/08A

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

*Complete if Known*Application Number **To Be Assigned  
10/743163**Filing Date **Herewith**

Confirmation Number

First Named Inventor **M. Inan et al.**Group Art Unit **1636**Examiner Name **TBA J. Dunston**Sheet **1** of **4** Attorney Docket No. **15948Z**

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
JD	1	4,703,004	B1	Hopp et al.	10-27-1987
JD	2	4,782,137	B1	Hopp et al.	11-01-1988
JD	3	4,855,231	B1	Stroman et al.	08-08-1989
	4	5,032,516	B1	Cregg	07-16-1991
	5	5,166,329	B1	Cregg	11-24-1992
	6	5,500,483	B1	Kumagai et al.	03-19-1996
	7	5,594,115	B1	Sharma	01-14-1997
	8	5,641,661	B1	Kumagai et al.	06-24-1997
▼	9	5,935,824	B1	Sgarlato	08-10-1999
JD	10	6,033,898	B1	Sarthy et al.	03-07-2000

Examiner Signature	/Jennifer Dunston/ (12/04/2006)	Date Considered
--------------------	---------------------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached or place an "A" here if English language abstract is attached..

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

PTO/SB/08A				<i>Complete if Known</i>	
<b>-INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	To Be Assigned 10/743163
				Filing Date	Herewith
				Confirmation Number	
				First Named Inventor	M. Inan et al.
				Group Art Unit	1636
				Examiner Name	TBA J. Dunston
Sheet	2	of	4	Attorney Docket No.	15948Z

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office	Number <sup>4</sup>	Kind Code <sup>2</sup> (if known)		
JD	11	EP	0 226 752	A1	Phillips Petroleum Company	07-01-1987
JD	12	EP	0 560 401	A1	Phillips Petroleum Company	09-15-1993

  

OTHER ART - NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.				
JD	13	ALTSCHUL et al., "Basic Local Alignment Search Tool." Journal of Molecular Biology, 1990, pp. 403-410, Vol. 215, No. 3.				
	14	BIRREN et al., "Sequence Analysis, A Laboratory Manual." Genome Analysis, 1997, pp. 543-559, Vol. 1, Cold Spring Harbor Laboratory Press.				
	15	CARRILLO et al., "The Multiple Sequence Alignment Problem in Biology." Siam Journal on Applied Mathematics, 1988, pp. 1073-1082, Vol. 48, No. 5.				
	16	COULSON A., "High Performance Searching of Biosequence Database." Trends in Biotechnology, 1994, pp. 76-80, Vol. 12, No. 3(122).				
↓	17	CREGG et al., "Functional Characterization of Two Alcohol Oxidase Genes from the Yeast <i>Pichia pastoris</i> ." Molecular and Cellular Biology, 1989, pp. 1316-1323, Vol. 9, No. 3.				
JD	18	CREGG et al., "Recombinant Protein Expression in <i>Pichia pastoris</i> ." Molecular Biotechnology, 2000, pp. 23-52, Vol. 16, No. 1.				

Examiner Signature	Jennifer Dunston/ (12/04/2006)	Date Considered
--------------------	--------------------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached or place an "A" here if English language abstract is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

PTO/SB/08A

*Complete if Known*

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	To Be Assigned 10/743163
				Filing Date	Herewith
				Confirmation Number	.....
				First Named Inventor	M. Inan et al.
				Group Art Unit	1636
				Examiner Name	TBA J. Dunston
Sheet	3	of	4	Attorney Docket No.	115948Z

JD	19	CREGG et al., "Recent Advances in the Expression of Foreign Genes in <i>Pichia pastoris</i> ." Biotechnology, 1993, pp. 905-910, Vol. 11, No. 8.	
	20	DEVEREUX et al., "A Comprehensive set of Sequence Analysis Programs for the VAX." Nucleic Acids Research, 1984, pp. 387-395, Vol. 12, No. 1	
	21	GUARENTE et al., "Fusion of <i>Escherichia coli lacZ</i> to Cytochrome c gene of <i>Saccharomyces cerevisiae</i> ." Proceedings of the National Academy of Sciences of the USA, 1981, pp. 2199-2203, Vol. 78, No. 4.	
	22	KOUTZ et al., "Structural Comparison of the <i>Pichia pastoris</i> Alcohol Oxidase Genes." Yeast, 1989, pp. 167-177, Vol. 5, No. 3.	
	23	OHI et al., "The Positive and Negative <i>cis</i> -acting Elements for Methanol Regulation in the <i>Pichia pastoris</i> AOX2 gene." Mol. Gen. Genet., 1994, pp. 489-499, Vol. 243, NO. 5.	
	24	MILLER J.H. (ed), "Experiment 48, Assay of $\beta$ -Galactosidase." Experiments in Molecular Genetic, Cold Spring Harbor Laboratory, 1972, pp. 352-355.	
	25	SEARS et al., "A Versatile Set of Vectors for Constitutive and Regulated Gene Expression in <i>Pichia pastoris</i> ." Yeast, 1998, pp. 783-790, Vol. 14, No. 5.	
↓	26	MEINKOTH et al., "Hybridization of Nucleic Acids Immobilized on Solid Supports." Analytical Biochemistry, 1984, pp. 267-284, Vol. 138, No. 1.	
JD	27	TSCHOPP et al., "Expression of <i>lacZ</i> gene from two Methanol-regulated Promoters in <i>Pichia pastoris</i> ." Nucleic Acids Research, 1987, pp. 3859-3877, Vol. 15, No. 9.	

Examiner Signature	/Jennifer Dunston/ (12/04/2006)	Date Considered
--------------------	---------------------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached or place an "A" here if English language abstract is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.



Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE				Atty. Docket No. (Optional)		Application Number	
<b>LIST OF PRIOR ART CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i>				15948Z		10/743,163	
				Applicant(s) Mehmet Inan, et al. Filing Date December 22, 2003			
						Group Art Unit <b>1652 1636</b>	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If appropriate)
JD	1.	5,641,661	6/24/97	Kumagai et al.	—	—	
					—	—	
<b>FOREIGN PATENT DOCUMENTS</b>							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
JD	2. EPO 0510 693 A2	10/28/92	EPO	—	—	✓	
JD	3. WO 97/17450	5/15/97	PCT	—	—	✓	
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
<b>EXAMINER</b> /Jennifer Dunston/ (12/04/2006)				<b>DATE CONSIDERED</b>			
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE			Atty. Docket No. (Optional)		Application Number		
<b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>			15948Z		10/743,163		
			Applicant(s) Mehmet Inan, et al. Filing Date December 22, 2003				
					Group Art Unit 1652 1636		
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
JD	1.	4,808,537	2/28/1989				
<b>FOREIGN PATENT DOCUMENTS</b>							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
JD	2.	Database Geneseq, Accession No. AAN60967, XP-002365842 (1991)					
EXAMINER /Jennifer Dunston/ (12/04/2006)			DATE CONSIDERED				
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							